



TEXAS HISTORICAL COMMISSION
real places telling real stories

COURTHOUSE PLANNING GRANT MANUAL

**TEXAS HISTORIC COURTHOUSE
PRESERVATION PROGRAM**

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SECTION I: Program Rules and Regulations

The Texas Historical Commission's (THC) Texas Historic Courthouse Preservation Program (THCPP) is an unprecedented effort by the state and local governments to preserve historic county courthouses. It has been widely recognized and received numerous national awards for its achievements. To date, more than 67 Texas courthouses have been fully restored through this program.

The THCPP, created in 1999, exists under the authority of the Texas Government Code, Section 442.0081, Historic Preservation Program Grants and Loans; 442.0082, Historic Courthouse Project Requirements; and 442.0083, Funding for Historic Courthouse Preservation Program, Historic Courthouse Preservation Fund Account.

The implementing regulations for the program are described in the Texas Administrative Code, Title 13 Cultural Resources, Part 2 Texas Historical Commission, Chapter 12 Texas Historic Courthouse Preservation Program, as amended. These regulations were developed by the Texas Historical Commission to implement this program and can be found at [txrules.elaws.us/rule/title13_chapter12](https://elaws.us/rule/title13_chapter12).

SECTION II: Starting the Project

Congratulations on receiving a Round X grant award! Our staff looks forward to working with you toward the preservation of your historic county courthouse.

The planning activities, including executing the program documents and contracts, should provide ample time for establishing a dialogue about the courthouse. Our expectation is that all parties share a common vision for this courthouse project, specifically the work referenced in the grant application. Please become familiar with the scope commitment as the planning documents are finalized.

This section discusses the procedures and terms under which the grant must be administered, identifies the parties involved and describes in detail the important first steps in the process.

We find that the most successful projects are the result of good communication between the parties and a thorough understanding of the issues, roles, and responsibilities of each.

2A. Grant Orientation Meeting

Shortly after the grant award notification, contact your THCPP Project Reviewer to schedule a **grant orientation meeting** to familiarize the team with the grant program guidelines. All project participants, including representatives from the county or city who have or will have a role or interest in the project, professional architects, and interested members of the local community are invited to attend. The county judge, mayor, or other designated contact, and the project architect will each receive a copy of this grant manual. If needed, additional manuals can be printed from the enclosed CD. At this meeting, an external grant signature card will be distributed and completed by all applicable participants with signatory authority for the project, such as the county judge, mayor, and auditor.

On the same day as the **grant orientation meeting**, please schedule a separate meeting between the County Auditor, your THCPP Project Reviewer, and your architect for training on how to complete the Reimbursement Request Form.

The **grant recipient** carries the primary responsibility for executing this project in accordance with all procedures stated in this grant manual, for executing contracts with the professional architects, and for paying all costs associated with the project. The grant recipient must also ensure that all necessary THC approvals are obtained, reporting information is submitted to the THC, and meetings are properly coordinated with the THC.

The grant work includes administrative, legal, financial, and architectural planning components. It may be useful, therefore, to identify the grant recipient's expertise in these areas and involve the appropriate participants at an early point in the process. Familiarize them with the procedures and call the THC if you need clarification on any issue.

In addition, the county or city officials should familiarize themselves and comply with the **Uniform Grant Management Standards** (UGMS) produced and distributed by the Comptroller of Public Accounts. Chapter 783 of the Texas Government Code states "It is the policy of the state to promote the efficient use of public funds in local government and in programs requiring cooperation among local, state and federal agencies." The UGM Standards can be found on the comptroller's website at comptroller.texas.gov/purchasing/docs/ugms.pdf.

The **project architect** is the hired project professional who advises the grant recipient on matters related to the project. The grant recipient should work with a preservation architect or architectural firm that has ample time and appropriate skills to execute the project in accordance with its needs and these procedures. The scope of the architect's responsibilities is defined in your architectural services contract and should be expanded as necessary to address these procedural requirements (see "Construction Project" section). The sub-architects, such as mechanical engineers, structural engineers, lighting designers, and paint conservators also provide valuable input to ensure the project meets the grant recipient's functional requirements. The grant recipient shall prepare a statement concerning selection of the architect and transmit original copies of the signed documents to the THC for signature.

2B. Texas Historic Courthouse Preservation Program Staff

The **THC** will be your partner during the planning and execution of the grant-funded work. Your **THCPP Project Reviewer** assists you in achieving a quality preservation project and facilitates reimbursement of funds. This individual will work closely with you and the planning team throughout the project. The **Courthouse Program Specialist** is available to assist you with administrative or reimbursement queries.

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2C. Funding Agreement

A **Funding Agreement** (Agreement), the body of which has been prepared for each project by the THC, states the obligations of the grant recipient and the THC regarding the grant project (see front pocket for an original copy). By its execution, the grant recipient commits to carry out the project in conformance with the program requirements and the procedures of this manual.

Please review the Agreement language carefully and ensure that the terms and grant recipient's responsibilities under the Agreement are well understood by all parties.

Funding Agreement Execution
The THC will prepare and provide the Funding Agreement to the grant recipient for signature
The THC will prepare and provide Attachment A to the grant recipient for signature
The grant recipient's Project Architect will prepare and provide Attachments B, C, and D to the THC
The grant recipient will prepare and provide Attachment E to the THC
The THC will assemble the completed documents for signature by the commission's Executive Director
The THC will retain the original executed Funding Agreement with all attachments for its files and return a copy of the executed document to the grant recipient

The Agreement must be signed by both parties prior to reimbursement and within 90 days of the date of the award. Undue delay in executing this Agreement may result in forfeiture of the grant funds. If the Agreement is not executed within 90 days of the grant award, the grant recipient must submit a request for an extension in writing to the Program Director, Sharon Fleming.

Please note that it may be necessary to amend the Agreement to reflect any significant changes to the project cost, schedule, or scope by updating the relevant Funding Agreement attachments.

Supporting documents for the agreement include the following attachments to the agreement (see samples provided in the Appendix).

- **Attachment A:** Source of Funds Statement and Verification
- **Attachment B:** Project Cost Statement
- **Attachment C:** Scope of Work
- **Attachment D:** Project Schedule
- **Attachment E:** Resolution of Support

ATTACHMENT A: SOURCE OF FUNDS STATEMENT AND VERIFICATION

Planning grant awards in Round X were based on the planning request stated in the grant recipient's grant application and require a minimum 50 percent cash match.

The Funds Statement prepared by the THC establishes the award amount provided by the state and the minimum match amount that the grant recipient will provide to accomplish the scope of work. The **local share** figure generally matches the "cash contribution" figure you provided in the project funding request section of your Round X grant application. The **state share**, or THCPP grant award amount, is the amount requested in the application or another amount as determined by the THC. Note that the total project cost used to establish the Source of Funds Statement for a planning project is taken from the estimated **Total Professional Design and Planning Services** provided in the grant application planning request. However, if more accurate information is available at the time the Agreement is finalized or after its execution, the statement should be revised to reflect the most current information.

The **verification** commits the grant recipient to providing all remaining funds necessary to complete the grant project. **Please note that the state's award is based on the grant application's estimated total project cost, yet it is the obligation of the grant recipient to meet all final project costs.** The local funding share may be provided in ready cash, loans, certificates of obligation, or other non-THC grant awards. State funds are distributed on a cost-reimbursement basis.

Once a bid is accepted and a contract signed, if the total project cost either increases or decreases by more than 10 percent after the Source of Funds Statement has been signed by the grant recipient and submitted to the THC, an amended Source of Funds Statement must be approved, signed, and attached to the Funding Agreement for the THC.

ATTACHMENT B: PROJECT COST ESTIMATE

The planning cost estimate must be prepared based upon the planning request in the grant application and the approved planning grant funding, and provided as an attachment to the Agreement. Ensure that the total amount of the eligible planning costs matches or exceeds the "estimated total project cost" figure used in Attachment A.

Consult with the THC or refer to Section 3B of this manual to identify **any ineligible project costs** in your estimate, such as non-preservation-related expenses; these costs must be totaled separately. All project costs that are not eligible for reimbursement from this grant program are the sole responsibility of the grant recipient and should be budgeted as such.

Note that the professional fees for a Round X planning project cannot exceed **13 percent of the Total Eligible Construction Cost** provided as the construction cost estimate in the grant application. Professional services associated with ineligible project scope are ineligible for reimbursement by the THC.

If the total planning cost either increases or decreases by more than 10 percent after the Source of Funds Statement has been signed by the grant recipient and submitted to the THC, an amended Attachment A, Source of Funds Statement and Attachment B, Planning Cost Estimate must be approved, signed when appropriate, and attached to the Funding Agreement for the THC to update the contribution percentages of the parties.

ATTACHMENT C: SCOPE OF WORK

Planning work to be performed under the Agreement is described in the Scope of Work. This document establishes all parties' general expectations for the project and should clearly state the treatment approach (i.e., restoration or rehabilitation) selected for this building. It should describe the scope of the architect's services and include all deliverables to be provided to the grant recipient and the THC. The full Scope of Work shall be met unless specific written agreement is given by the THC.

ATTACHMENT D: PROJECT SCHEDULE

Following the general grant orientation meeting, the project architect will develop the grant recipient's Project Schedule which lists major project milestones. It must take into consideration the work to prepare, execute, and obtain approvals for the program documents and proposed final contract documents (see Section 3A). Consult with the THC on the proposed schedule prior to its final inclusion in the Agreement.

ATTACHMENT E: RESOLUTION OF SUPPORT

The county commissioners' court or city council must execute a resolution of support for acceptance of the grant award and its terms. A suggested text is provided in the sample attachment in the Appendix. The resolution shall commit the grant recipient to compliance with the guidelines of the program, adherence to the terms of the funding agreement, and provide assurance that the grant recipient is committed to achieving the project as described in the project description and philosophy in the grant application. The grant recipient must be aware that its financial commitment to the project may extend beyond the amount estimated as the grant recipient's contribution to the project due to unforeseen circumstances.

Please place a copy of the executed Funding Agreement in this manual for your future reference.

2D. Grant of Easement

In the Round X application for a THCPP grant, the grant recipient may have agreed to convey a **Grant of Easement** (easement) on the property to the THC. A preservation easement reflecting the terms has been duly prepared by the THC in exchange for an award of state grant funds for the subject project (see front pocket). The document states the “Grantor (grant recipient) hereby grants and conveys to the grantee (THC) an interest and easement in the Property, for the preservation of historic, architectural, scenic and open space values.” The easement remains in effect in perpetuity or as otherwise agreed.

For detailed information about the easement procedures and required attachments, please see the *THC’s Policies and Procedures for the Execution and Maintenance of Grants of Preservation Easements* in the Appendix of this grant manual.

Note that the easement should be signed by both parties prior to reimbursement and within 90 days of the date of the award. Undue delay in executing this easement may result in forfeiture of the grant funds. If the easement is not executed within 90 days of the grant award, the grant recipient must submit a request for an extension in writing to the Program Director, Sharon Fleming.

The following Attachments to the Preservation Easement must be promptly prepared by the grant recipient as outlined in the THC’s *Policies and Procedures for the Execution and Maintenance of Grants of Preservation Easements* and in consultation with your THCPP Project Reviewer. These Attachments will be reviewed and approved by all parties before the Easement is executed.

ATTACHMENT A

Attachment A is a legal description of the property and its associated grounds. Attachment A must indicate the property boundaries and depict all buildings and site features on the property, in graphic and written form. A representation or list of any liens or encumbrances on the property must also be provided.

“**Attachment A: Legal Property Description**” documentation, includes:

- Legal description of the property boundaries
- Site plan and/or survey of the property
- Photographs showing major views of the property

ATTACHMENT B

The grant recipient must document the initial level of preservation and establish a permanent reference with respect to the condition of the property on the date the easement is executed. In addition, the nature and scope of protection for the property relative to its design, structure, materials, and workmanship will be defined in consultation with the THC. Please see sample provided in the Appendix.

“**Attachment B: Level of Preservation**” documentation includes:

- List of character-defining materials, features, and spaces that constitute the scope of the protection provided by the easement
- Narrative description of their current condition

And to complement “**Attachment B: Level of Preservation,**” the grant recipient must provide the following items to be maintained in the conservation easement file for the life of the easement:

- Photographic record of all exterior elevations and significant interior spaces and elements
- Photographic log of all photographs describing the subject matter
- A keyed location map referencing all provided photographs
- Measured architectural drawings drawn to scale showing the building as it currently appears, if available—but at minimum, floor plans showing the building’s current configuration.

ATTACHMENT C

The grant recipient must provide documentation for Attachment C, the Scope of Work for any anticipated projects or improvements to the property. All construction plans and specifications for any proposed construction activity associated with the grant of easement shall be reviewed and approved by the THC and referenced in the Scope of Work description. Following the execution of the work, photographs documenting the significant changes to the property will be submitted to the THC as part of the Completion Report.

“Attachment C: Scope of Work” includes:

- Narrative description of the Scope of Work
- Reference to any construction documents or design documents that may exist for the project and have been approved by the THC

The final approved version of the easement must be signed and notarized by the grant recipient and the THC. The original, signed copy of the Preservation Easement with all attachments will be duly filed in the county records by the county clerk not later than 30 days following the execution of the easement. The Grantor should then transmit a certified copy of the easement with the recordation data to the THC (Grantee) for its records.

THC staff will review all attachments provided by the grant recipient within 30 days. Attachments will be approved by all parties before the Easement is signed or finalized. The final approved version of the easement must be signed and notarized by the grant recipient and the THC. The original, signed copy of the easement with all attachments will be duly filed in the county records by the county clerk. The easement grant recipient should then transmit a notarized copy of the easement with the filing stamp to the THC for its records.

Grant of Easement Execution
The THC will prepare and provide the easement to the grant recipient for signature (front pocket).
The grant recipient's project architect will prepare and provide Attachments A, B and C to the THC
The THC will review and approve all attachments, and then assemble the completed documents for notarized signature by the grant recipient and the THC Executive Director
The grant recipient will file the original signed and executed easement in the county records with the county clerk
The grant recipient will mail an official filed copy of the signed and executed easement to the THC
The THC will retain the filed copy of the easement with all attachments for its files

Note that as of the date of the easement's execution, the grant recipient shall maintain, at its own cost, insurance coverage against loss in the amount of the estimated historical replacement cost of the building as a condition of the easement. When requesting your policy, you must specifically request Historic Replacement Value coverage. An update on the insurance coverage maintained by the grant recipient should be provided annually to the THC for its records.

Please place a copy of the executed easement in this manual for your future reference.

SECTION III: Project Execution

A THCPP Planning Grant supports the development of architectural drawings, or plans, and specifications for the construction activity that follows at some later date.

Please be aware that **failure to communicate** necessary information or obtain approvals from the THC can delay the project, cause reimbursements to be withheld, and/or the contract to be terminated.

Planning documents will be reviewed by the THC to determine if they are consistent with the approved master plan, the approved construction scope, and the restoration date as provided in the Round X grant application and the applicable treatment within Secretary of the Interior’s *Standards for the Treatment of Historic Properties*. Note that **restoration** is defined as “the act or process of accurately depicting the form, features, and character of a property as it appeared at a **particular period of time** by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration. The limited and sensitive upgrading of mechanical/electrical/plumbing systems and other code required work to make the property functional is appropriate within a restoration project.” **Rehabilitation**, by contrast, does not involve the removal of historic features, and no specific date is represented.

The “front end” of the contract documents must address all legal requirements the grant recipient must meet under the Texas Government Code, and the relevant sections of the Uniform Grant Management Standards should be consulted for bidding requirements. The project manual should **specify the general contractor’s responsibilities** as they pertain to the requirements of this program (i.e., project sign, progress photos, contractor’s meeting minutes, record drawings, and/or record photographs). It should also specify the minimum experience and qualifications of the general contractor and major subcontractors. See next sub-section on “Bidding.”

THC staff will require approximately four weeks from the date of receipt for review. THC staff may request an onsite meeting to familiarize themselves with the project and discuss the status of the proposed plans. The grant recipient should ensure that the project architect implements the THC-recommended revisions into the plans and completes the plans in a timely manner.

Note that previous approval at an earlier phase does not preclude further comments from the THC on any aspect of the current submittal. If conditions related to the project change, new information becomes available or elements, which are inconsistent with the approved master plan or the applicable scope become apparent, the plans should be revised appropriately. The THC and grant recipient review of the documents will entail comprehensive evaluation based on current information and experience to ensure that the high standards set for this program are met.

THC staff may request a meeting with the project architect and grant recipient to resolve substantive concerns regarding any aspect of the proposal. At each review phase, the THC will provide written comments to the project architect via the grant recipient. The project architect must then revise the documents to address the comments of the THC. Changes to the construction documents may be requested by the THC at any time during the planning process or in the future, during construction.

The THCPP-Funded Design or Planning Phase of the Project Will Include the Following Important Steps:	
Review/Transmit Architectural Contract and Selection Statement to the THC	<ul style="list-style-type: none">• Ensure that the contract includes all services required under this manual
Design Review and Approval	<ul style="list-style-type: none">• All parties meet at the site to examine architectural and historic issues
	<ul style="list-style-type: none">• The THC reviews Schematic Design submittal and provides written comments
	<ul style="list-style-type: none">• Project architect and consultants respond to comments in writing
	<ul style="list-style-type: none">• Plans are revised and developed to next phase (i.e., Design Development, etc.)
	<ul style="list-style-type: none">• Project architect provides required final copies of the approved 95 percent construction documents and cost estimate to the THC

The THCPP-Funded Design or Planning Phase of the Project Will Include the Following Important Steps (Continued)

Reimbursement

- Following each submittal, review, and approval by the THC, the grant recipient pays invoices associated with that phase and submits to the THC for reimbursement

Project Close-out (see Section 4)

- Project architect provides two sets of the final approved documents to the THC and one to the grant recipient

3A. Planning the Project

The planning or design phase of the project is an intensive process whereby the needs of the grant recipient, the building's history and architectural integrity, and constructability issues are considered in progressively further detail. The final result is a set of construction documents that can be used to execute the project once construction funding is obtained. The cost estimate will be used for budgeting and future funding applications.

There are several steps to planning this project:

REVIEW AND TRANSMIT SELECTION STATEMENT AND ARCHITECT'S CONTRACT TO THE THC

The grant recipient will negotiate a contractual arrangement with a licensed architect or architectural firm following the orientation meeting. The **Contract between the Owner and Architect** (usually AIA Document form B141) should specify the services that will be provided by the project architect for this grant-funded project.

If the grant recipient needs to identify an appropriate architectural consultant to hire or confirm its decision, please refer to *Finding and Hiring Qualified Historic Preservation Consultants*, available upon request from the THC or its [website](#). To select the best preservation architect for the job, it is recommended that you interview several candidates, ask other property owners or professional societies for references, and review resumes and examples of completed projects for successful and relevant preservation projects. **A statement of your selection criteria or process** must be submitted to the THC with your architectural contract for services. We do not require issuance of a Request for Proposals (RFP) for architectural services related to this project.

It is essential that the architect or firm selected for this project have experience with similar preservation projects. **Resumes for all staff** involved with the work should be reviewed to determine their experience, and a **statement regarding their qualifications** for this project must be provided. In particular, the professional point of contact for the project must meet the Secretary of the Interior's *Guidelines for Historic Preservation Projects: Professional Qualifications Standards*. These requirements are used by the National Park Service and have been previously published in the Code of Federal Regulations, 36 CFR Part 61:

The minimum professional qualifications in historic architecture are a professional degree in architecture or a State License to practice architecture, plus one of the following: (1) At least one year of graduate study in architectural preservation, American architectural history, preservation planning or a closely related field; or (2) At least one year of full-time professional experience on historic preservation projects. Such graduate study shall include detailed investigations of historic structures, preparations of historic structures research reports, and preparations of plans and specifications for preservation projects.

Essential elements of the architect's contract are the scope of services, deliverables, fees, and schedule. These are also the subjects of attachments to your funding agreement with the THC, so the architect should **ensure that their professional services contract is consistent with their responsibilities under this Program**.

For planning projects, basic services of the architect will include schematic design, design development, and construction documents. Several site visits will be made to the courthouse by the project architect for field measuring and investigations. Also, the grant recipient may wish for the project architect to make interim presentations before the architect proceeds to the next stage of development. Technical reviews will be performed by the THC, and the project architect will respond to each set of THC comments in writing and with revisions to the plans.

While the consultants' fees for the planning work may exceed 13 percent of the eligible construction cost, the THC will not reimburse the grant recipient for professional services in excess of that limit.

The grant recipient must provide a copy of its contract with the architect, a statement of the architect's qualifications, and the resume of the project architect prior to submitting any requests for reimbursement.

DESIGN REVIEW AND APPROVAL

The documents prepared by the architect and its team are the final product of this project. It is very important that the grant recipient and its consultant work closely with THC in their development.

Architectural Project Documents that Describe the Proposed Work Shall be Submitted by the Architect as:
<ul style="list-style-type: none">• Schematic Design package
<ul style="list-style-type: none">• Design Development package
<ul style="list-style-type: none">• 60 Percent Complete Construction Documents, and
<ul style="list-style-type: none">• 95 Percent Complete Construction Documents
All deliverables detailed in the Scope of Work should be provided for each phase. See descriptions of these phases on the following pages.

The architectural plans and specifications will be reviewed by the THC to determine if they are consistent with the approved master plan and the applicable treatment within Secretary of the Interior's *Standards for the Treatment of Historic Properties*, as appropriate. Note that **restoration** is defined as “the act or process of accurately depicting the form, features and character of a property as it appeared at a **particular period of time** by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration. The limited and sensitive upgrading of MEP and other code required work to make the property functional is appropriate within a restoration project.” Rehabilitation, by contrast, does not involve the removal of historic features, and no specific date is represented.

The submittals will meet the approved **schedule** for project planning established in the Funding Agreement. Failure to meet the schedule may result in forfeiture of the remaining grant award unless a written extension request is received from the grant recipient documenting the nature of the delay. The extension request must be submitted at least 14 days prior to the due date for that submittal.

The grant recipient will provide one copy of the documents to the THC for each scheduled review. THCPP staff will require approximately **four weeks from the date of receipt to review each submittal**. Subsequent to the in-house review, the THC may request a meeting with the architect and grant recipient representative(s) to resolve substantive concerns regarding any aspect of the proposal. The architect will then revise the documents to address the comments of the THC and receive approval prior to proceeding to the next phase.

Schematic Design Phase
Typically, in this phase, the architect has determined the basic requirements of the project and has prepared drawings and other documents illustrating the scale and relationship of project components.
The package of deliverables should include:
<ul style="list-style-type: none">• measured floor plans, elevations, and roof plan keynoted for demolition and new work
<ul style="list-style-type: none">• site plan, noting all existing features and identifying new work
<ul style="list-style-type: none">• analysis of relevant programmatic information
<ul style="list-style-type: none">• narrative description of MEP systems
<ul style="list-style-type: none">• status report on historic paint analysis, hazardous/materials survey, geotechnical or other testing specified in the scope work
<ul style="list-style-type: none">• construction cost estimate (17 percent contingency “suggested”)

We recognize that it is likely that a portion of this work has already been completed in preparation of the master plan. Approval of the master plan, however, does not necessarily preclude the THC comments on any aspect of the submittal.

Design Development Phase
At this point, the architect prepares drawings and other documents from approved schematic design studies that fix and describe the size and character of the entire project as to the materials, the architectural, structural, mechanical, and electrical systems, and other such elements as may be appropriate.
The package of deliverables should include:
<ul style="list-style-type: none"> plans, elevations, and section drawings noted for specific work required site plan, including survey, that notes all site work, grading, new equipment, hardscape, and landscape features completed window and door condition survey, draft recommendations completed masonry condition survey, draft recommendations schematic MEP proposals coordinated with other disciplines geotechnical reports and structural proposal reflected ceiling plans enlarged plan details, such as accessibility solutions outline specifications identifying all relevant subdivisions construction cost estimate, quantity survey (10 percent contingency “suggested”)

Construction Documents Phase
The architect prepares drawings and specifications from the approved design development documents that set forth the detailed requirements for construction of the project and assists the owner in the preparation of bidding documents.
Construction documents should be submitted approximately 60 percent complete and include:
<ul style="list-style-type: none"> Floor plans, elevation, and building sections with notes, references, and symbols Site plan indicating all site work with details of new construction Survey and schedule for window and door rehabilitation Survey and recommendations for masonry survey Proposed finish schedule Proposed hardware schedule Proposed interior elevations and casework Proposed construction details Proposed light fixture selections Draft project specifications, field testing of materials and products Opinion of probable construction cost (10 percent contingency “suggested”)

Construction Documents (95 Percent Submittal) Should Include:	
•	Floor plans, elevation, and building sections with notes, references, and symbols
•	Site plan indicating all site work with details of new construction
•	Survey and schedule for window and door rehabilitation
•	Survey and recommendations for masonry survey
•	Finishes and hardware schedules
•	Interior elevations and casework
•	Enlarged floor plans and construction details
•	Complete project specifications
•	Opinion of probable construction cost (7.5 percent contingency “suggested”)

Some selective demolition may be encouraged to verify hidden conditions and reduce the need for change orders during construction. As the design progresses, the THC will meet on a regular basis with the grant recipient’s representative(s) and project architect. The grant recipient should ensure that the project architect implements the THC-recommended revisions to the plans and completes the plans in a timely manner.

3B. Reimbursement

The THC has maintained an excellent record in the administration of state and federal grant funds. We encourage the grant recipient's treasurer or auditor to establish a separate account for this project and to maintain an up-to-date budget of anticipated project costs and a record of expenditures. A grant recipient's expenditure of money received under this program is subject to audit by the State Auditor in accordance with Chapter 321 of the Texas Local Government Code.

The program distributes funding on a **cost-reimbursement basis**. The grant recipient shall be responsible for developing a method for paying all project-related expenses as they come due, then requesting reimbursements from the THC. Reimbursement from the THC will be made based on the pro-rata share as stated in Attachment A. Reimbursement may be withheld until all required documentation is received and approved by the THC.

THE REIMBURSEMENT REQUEST FORM

A blank **Reimbursement Request** form, along with a sample cover letter, is provided for your use. If you need any help filling out the form or have questions, please contact your **THCPP Project Reviewer**. Questions regarding grant funds management should be directed to **THC Grant Coordinator, Megan Koch** at 512-463-3805. If you wish the funds to be transmitted electronically, please make these arrangements prior to your first request.

INSTRUCTIONS FOR FILLING IN THE REIMBURSEMENT REQUEST FORM

The **Project Information** contains general information such as the judge's or mayor's name and phone number. The grant fiscal year is 2018–19, and the **Grant Number** is *the name of the county-10-2018*. For example, Pecan-10-2018. The **Total Grant Award** is the amount listed in the Funding Agreement as the state funds, including any amendments due to either an increase in funds through a supplemental grant or a decrease in funds through a recapture. The **Type of Payment Requested** will always be **Partial** unless the project is completed. To submit a **Final** request, please see final request instructions below.

The **Payment Recipient** and chief financial officer is usually the grant recipient's treasurer. The **Federal or State Identification Number** is the taxpayer identification number and is required for our accounting.

The **Period Covered This Request** is the period during which the expenses were incurred or services delivered, not the date the checks were written or invoices were received. While this period can overlap with other requests or exceed 30 days, it may not include any expenses incurred prior to the date of the grant award or any construction expenses incurred prior to the notice to proceed to construction. It is not necessary or preferred for the grant recipient to submit a separate reimbursement request per month.

The **Reimbursement Request Form** is an Excel spreadsheet organized by the **16 Divisions of Construction**, and the blue sections will be filled in by the requestor. Please enter the construction costs into those 16 Divisions using **Attachment B**, the original cost estimate, from the **Funding Agreement** to fill in the costs for each Division in Column A, **Approved Project Cost Estimate**. The costs in this column should remain fixed throughout the project. After a contract is signed for the project construction, please use the cost from the contract with the contractor to fill in Column B, **Current Actual Project Costs**. The **Current Actual Project Costs** may change throughout the project due to changes in the project scope or discoveries of unforeseen conditions that increase the project cost through Change Orders or other means.

The grant recipient and its consultant should direct the contractor to submit their Applications for Payment with costs divided into the 16 Divisions and to provide a line item for the percentage of the total construction cost that is allocated to the contractor's Overhead and Profit.

Using the **Schedule of Values** submitted by the contractor with the Application for Payment, enter in the amounts invoiced for each Division in the fourth column, **Current Request**. The third column, **Previous Requests**, will be automatically calculated based upon the sum of the amounts of requests previously entered in the **Current Request** column.

Please enter any ineligible costs in the last blue row for the three columns, **Approved Project Cost Estimate**, **Current Actual Project Costs**, and **Current Request**. Please enter the amount of the contractor's **Retainage**, usually 10 percent.

In the **Contractor Overhead and Profit** section, please enter the percentage of **Subtotal A, Allowable Costs** that was provided as the contractor's overhead and profit on the Application for Payment or in the contractor's contract. This percentage will remain fixed and will only need to be entered once.

In the **Contingency** section, please enter the percentage of construction contingency that was provided in the contractor's contract.

On the **Other Costs (Outside the General Contract)** line, enter any eligible costs paid by the owner that were not included in the contract with the contractor. One example is the abatement of hazardous materials, which is often a separate contract and is therefore not performed by the general contractor.

In the **A/E (Architect/Engineering) Services and Additional Professional Services** section, please enter the percentage of any **Design Service** fees and **Construction Administration** fees provided in the current Architect's contract. The total amount of A/E fees associated with this project cannot exceed **13 percent for Design Services** (production of construction bid documents) and **4 percent for Construction Administration** (the services provided by an architect during construction). While the grant recipient may pay fees beyond the allowable fees in both categories, the THC cannot reimburse for fees that exceed **16 percent of the Total Allowable Construction Cost**. Enter any amounts for **Additional Services** agreed to in the architect's contract. If the grant recipient had any A/E fees associated with this project paid by a previous THCPP grant such as through a Planning Grant, enter the amount of those fees paid by the THC in the line item **Past A/E Fees**. If you need any help determining that amount, please contact your project reviewer.

In the **Reimbursement and Match Calculation** section, please enter the percentage of the total project cost being paid by the grant recipient, or the **Local Match** percentage as entered on the most current **Attachment A** of the **Funding Agreement**. Note that this percentage is rounded to a whole percentage for interim reimbursement purposes and the final amount of the THC grant will be reconciled at the time of the final reimbursement request. The amount of money contributed by either the grant recipient or the THC may change, but the percentage should remain fixed.

Required attachments for each reimbursement request include documentation for the previous quarter's eligible project costs, as follows:

Expense Summary

If more than one check is involved in the reimbursement request, provide a summary or tally for 1) the eligible portions of check amount, 2) the name of the vendor, and 3) total eligible project costs for this period. If portions of any invoice do not apply to this project or are ineligible for reimbursement, highlight that information and/or provide a note calling attention to its exclusion in the total project expense for that period.

Reimbursement for professional services (i.e., engineer's and architect's fees), to include:

- a billing statement(s) from the project professional pertaining to this contract only, and
- a copy of the associated cancelled payment check(s) or voucher(s)

Reimbursement for construction work must be accompanied by

- a complete **Certified Application for Payment** to the contractor signed by the architect, including the **Schedule of Values** describing the work accomplished to date
- a copy of the cancelled payment check(s) or voucher(s) to the contractor (*If your bank cannot provide a canceled check to document the expense, please ask the bank to provide a voucher statement or document that shows the funds have cleared the grant recipient's bank account*)

Invoices from the project architect to the grant recipient will not be reviewed by the THC prior to payment; however, the THC recommends that the grant recipient ensure that the submittal is approved by the architect for payment. Your THC Project Reviewer should be consulted if you have questions regarding the eligibility of project costs.

The requests do not need to be made at the same time each month, and may include more than 30 days of project expenses.

The grant recipient should receive a payment check from the THC for all approved eligible expenses within 30 days of receipt of the request. It is our goal to process the requests as quickly as possible and transmit the funds electronically. Reimbursements may be held, however, if further information related to the execution or documentation of the expense is needed. The THC may request a site visit or additional documentation from the grant recipient or architect to confirm that the expenses are eligible and approved.

If a request has been submitted and you need to check its status, contact Olivia Hillmer at 512-463-8821.

Submitting a Reimbursement Request for partial payment

You may mail a hard copy or email a PDF directly to olivia.hillmer@thc.texas.gov. Please ensure the pdf is of the highest quality for printing, otherwise, a hardcopy will be required. Faxes will not be accepted.

Address for regular USPS mail:

TEXAS HISTORICAL COMMISSION

Attention: Olivia Hillmer

P.O. Box 12276

Austin, TX 78711-2276

By courier to:

Olivia Hillmer

Texas Historical Commission

108 W. 16th Street, 2nd Floor

Austin, TX 78701

Submitting a Final Reimbursement Request

The THC will retain the final 10 percent of the grant award until the project is complete and all grant requirements have been met. **Projects that are not completed by their scheduled date of completion and/or six months after substantial completion will risk forfeiture of the final reimbursement.** Project and reimbursement schedules initially developed for the grant project are firm unless written requests have been received and the THC has granted extensions.

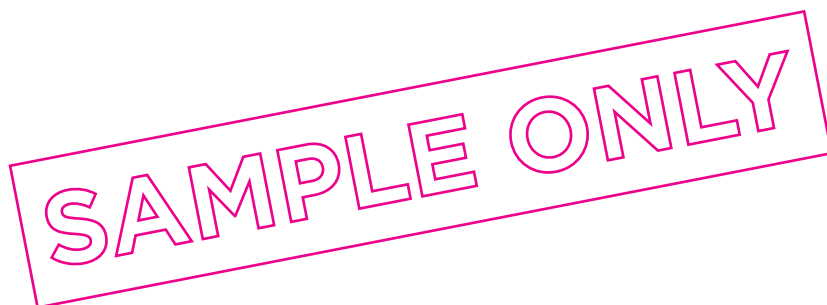
The project is completed when the owner satisfies the final application for payment to the contractor and architect, and all grant program requirements have been fully met. The grant recipient should then submit a **final request for reimbursement to the THC**. This request will include a copy of the final application for payment, a Certificate of Substantial Completion, Release of Retainage, and a statement that the owner has received the project close-out documents.

Please note that the **THCPP Grant Project Completion Report** (detailed requirements in Section 4A) also must have been forwarded to and approved by the THC. This report is prepared by the project professional or architect contracted by the grant recipient and documents the final product. The completion report will contain valuable information on the project. **Please ensure that the report is submitted in a timely manner after completion of the project or the grant will not be fully reimbursed.**

Project Cost Changes

Should the final cost of the project be **less** than expected or stated in the Funding Agreement, Attachment C: Estimated Project Budget, the respective state and local contributions will be adjusted according to the original percentage as given in **Attachment A: Source of Funds Statement**. This requires a bilateral amendment to the Funding Agreement.

The THC does not anticipate increasing its funding beyond the initial award for this round. **Therefore, the grant recipient will be responsible for its grant match and any increases due to any unforeseen costs encountered during project planning.**



September 1, 2018

Olivia Hillmer
Courthouse Program Specialist
Texas Historical Commission
Texas Historic Courthouse Preservation Program
PO Box 12276
Austin, TX 78711-2276

RE: Pecan County Courthouse Preservation Project, Reimbursement Request #5

Dear Olivia:

This request for reimbursement for the county's expenditures, are for the period August 1, 2018– August 30, 2018. During August, we paid the following vendors:

Expense Summary

Payee	Invoice #/Description of Services	Check #	Amount
Construction Co.	Pay Application #1, Aug 1–31, 2018	1245	\$152,000.00
Architect	Invoice #5, Aug 1–31, 2018 (for bid negotiations)	1241	\$ 6,000.00
Pecan Statesman	Statement #5647, Aug 7, 2018 (advertising project out for bid)	1242	\$ 300.00
	Total eligible project costs		\$158,300.00

The “Reimbursement Request Form,” copies of the invoices referenced above, and the associated canceled checks are attached.

Sincerely,

Grant recipient's CFO

SECTION IV: Project Closeout

These Items Must Be Fulfilled for a Planning Project to be Considered Complete:
<ul style="list-style-type: none"> The scope of services contained in the contract and the funding agreement has been performed
<ul style="list-style-type: none"> Three copies of the approved 95 percent complete construction documents and final cost estimate are provided—two for the THC and one for the grant recipient
<ul style="list-style-type: none"> Final invoices have been paid by the grant recipient
<ul style="list-style-type: none"> Final reimbursement is made to the grant recipient by the THC
Failure to submit the close-out documents promptly may result in forfeiture of any remaining grant award, including the 10 percent retainage.

Report Contents (Three Copies)
Introductory material:
<ul style="list-style-type: none"> Title Page
<ul style="list-style-type: none"> Executive Summary
<ul style="list-style-type: none"> Personnel List: state, grant recipient, consultants, and subs, with addresses and phone numbers
THCPP Program documents
<ul style="list-style-type: none"> Funding Agreement (copy signed by both parties)
<ul style="list-style-type: none"> Grant of Easement (copy signed and filed by the county clerk with volume and page number)
Grant Fiscal Reporting documents
<ul style="list-style-type: none"> Funding contributions listed by contributor and amount
<ul style="list-style-type: none"> Architect's final invoice statement
<ul style="list-style-type: none"> State Comptroller Reimbursement summary (provided by THC)
Project Cost Estimates:
<ul style="list-style-type: none"> Preliminary Cost Estimate, as presented in master plan
<ul style="list-style-type: none"> Final cost estimate or "opinion of probable cost"
Photographs:
<ul style="list-style-type: none"> Existing condition photos, standard size prints on archival paper, labeled, three copies
<ul style="list-style-type: none"> Compact disc with complete set of existing condition and record photos, one copy
<ul style="list-style-type: none"> Record photos showing all exterior elevations and principal interior spaces, 8 x 10 prints on archival paper, labeled, 3 copies (one per report)
Final Record drawings/documents on acid free paper:
<ul style="list-style-type: none"> Half-size sets of all drawings, three copies (one per report)
<ul style="list-style-type: none"> Project manual/specifications, three copies (one per report)
<ul style="list-style-type: none"> Compact disc or thumbdrive with the documents saved as PDFs

Project Resources

For an inspection or review for compliance with the Texas Accessibility Standards contact:

Robert Posey
Texas Department of Licensing and Regulations
920 Colorado Street, Tenth Floor, Austin, Texas 78701
800-803-9202 or 512-463-6599, license.state.tx.us

For questions about records management or archival matters contact:

Craig Kelso
Texas State Library and Archives Commission
P.O. Box 12927, Austin, Texas 78711-2927
512-463-5467, tsl.state.tx.us

For information regarding the design of courtrooms contact:

State Office of Court Administration
P.O. Box 12066, Austin, Texas 78711
512-463-1629, courts.state.tx.us/oca/ocahome.asp

For questions regarding state fire code concerns contact:

State Fire Marshal
P.O. Box 149104, Austin, Texas 78711-9221
800-578-4677 or 512-463-6169, tdi.state.tx.us

The following publications on preservation standards may be requested free of charge through the National Park Service's Technical Preservation Services by visiting www.nps.gov/tps/standards.htm:

The Secretary of the Interior's *Standards for the Treatment of Historic Properties 2017*, U.S. Department of the Interior, National Park Service, 1995.

Caring for the Past: Preserving, Rehabilitating and Restoring Historic Buildings, U.S. Department of the Interior, National Park Service, 1999–2000.

Comprehensive listing of sales publications, including the popular “Preservation Briefs” series, *Preservation Tech Notes* and *Guidelines for Rehabilitating Historic Buildings*.

For guidance on architectural practices, such as project scheduling, contractor payment applications, schedules of values, project close-out, etc., please refer to:

The Architect's Handbook of Professional Practice, Fifteenth Edition. American Institute of Architects Press, 2014.

Historic Preservation: Project Planning and Estimating, R.S. Means Company, Inc. Kingston, MA, 2000.



TEXAS HISTORICAL COMMISSION
real places telling real stories

thc.texas.gov